**CHAPTER 20:08:03**

**BROKER-DEALER AND AGENT RULES**

Section

20:08:03:01 Registration for broker-dealers, broker-dealer agents, and agents of the issuer.

20:08:03:02 Record keeping requirements for broker-dealers.

20:08:03:03 Broker-dealer minimum financial requirements.

20:08:03:04 Net capital requirements of broker-dealers.

20:08:03:05 Waiver of certain broker-dealer records and financial requirements.

20:08:03:06 Dishonest and unethical practices, broker-dealer, broker-dealer agents.

20:08:03:07 Fraudulent practices of broker-dealers, broker-dealer agents, and agents of the issuer.

20:08:03:07.01 Certification and professional designations.

20:08:03:08 Written supervisory procedures.

20:08:03:09 Copies of complaints to be filed with director.

20:08:03:10 Notice of transfer of control or of name change.

20:08:03:11 Notice of net capital deficiency.

20:08:03:12 Repealed.

20:08:03:13 Notice of thefts required.

20:08:03:14 Broker-dealer conduct on the premises of financial institutions.

20:08:03:15 Cross-border exemptions from registration for broker-dealers and agents.

20:08:03:16 Employee of the issuer exemption.

20:08:03:17 Finders.

20:08:03:18 Business brokers.